


Statement of Qualifications (SOQ) Evaluation

Art McCluskey, P.E., DBIA, WSDOT Design Build Program Manager
Jolena Missildine, Assoc. DBIA, WSDOT Design-Build Engineer

January 10, 2018 Roger Millar, Secretary of Transportation

Safety

- Sign-in
- Who is CPR Qualified?
- AED
- Who will call 911?
- Evacuation
- Restrooms
- Breaks



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Course Overview

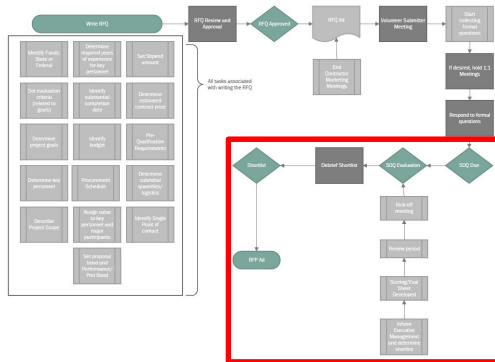
- Goals
- WSDOT Evaluation Team
- Evaluation Process

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SOQ Evaluation Goals

- **Conduct a transparent and defensible selection process**
- **Evaluate SOQs fairly**
- **Maintain the confidentiality of the evaluation process**
- **Shortlist qualified Submitters**

WSDOT RFQ Process



WSDOT Evaluation Team



Evaluation Committee Organizational Chart



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Evaluation Team Members

- **Facilitator**
- **Evaluators (Typically Three)**
 - One person with project knowledge
 - One person from the Region
 - One person from outside the Region
- **Technical Advisors/Subject Matter Experts**
- **Observer**

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Facilitator Responsibilities

- **Point of contact**
- **SOQ Evaluation Kick-Off Meeting**
- **Coordinates the evaluation process**
- **Obtains Confidentiality and No Conflicts of Interest Affidavit from Evaluators**
- **Facilitates the participation of Observers and substitute Evaluators**
- **Coordinates the project de-briefs**

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Observer Responsibilities

- Protects the Process
- Attend Evaluation Meetings
- Interpret Procurement Requirements
- *No input on qualitative evaluations*



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Evaluation Team Commitment

- Objectively and Impartially evaluate SOQs
- Understand and follow RFQ
- Meet schedule commitments
- Carefully read all SOQs
- Complete Forms
- Abide by confidentiality rules



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Kickoff Meeting

Agenda:

- Welcome
- Project Specific Handouts
- DB Manual Chapter 6
- Security/Document Control
- Evaluation Schedule
- Project Description
- Project Goals & SOQ Evaluation Criteria
- Roles and Responsibilities



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Confidentiality

- **COMPLETELY confidential**
- **Every person must sign a Confidentiality Agreement.**
 - All information confidential
 - No discussions with anyone who hasn't signed confidentiality agreement
 - Maintain control of all materials and information
 - Return all materials to WSDOT



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Conflicts of Interest

- **No financial interest in an entity pursuing the project**
 - Personal
 - Business
 - Family
- **Disclosure of potential conflicts of interest**
- **No gifts**

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Project Office Preparation for Evaluation

- **Develop the Evaluation Schedule**



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Project Goals



- Defined before delivery method selected
- Focused on project's needs, objectives and benefits
- Defines the "target" for the design-build team
- SOQs should demonstrate the likelihood of achieving or exceeding the Project Goals

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Example Project Goal

I-405, NE 6th St. to I-5 – NB Hard Shoulder Running & ETL Improvements Project

- Congestion Relief
- Excellent Project Management
- Minimize Impacts

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Two Step Evaluation Process:

- **Step One: *Responsiveness***
 - Pass/Fail Evaluation
 - Are required forms submitted?
 - Is the SOQ in the correct format?
 - Was the SOQ timely?
- **Step Two: *Substantive Evaluation***
 - Follows the format of the RFQ

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HQ Contract Ad & Award Office SOQ Review



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Pass/Fail Criteria

- Submittal Requirements
- Introduction Letter
- Major Participants and Key Personnel
- Legal Entity and Insurance
- Financial
- Forms

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WSDOT Irregularities

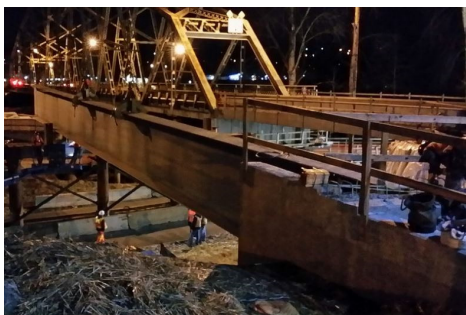
- **Material Irregularity**
 - Gives one Submitter an advantage over others
 - Cannot waive
- **Immaterial Irregularity**
 - Does not affect procurement
 - Can waive



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Evaluation Process



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Statements of Qualification

- Introduction Letter
- Key Personnel
- Major Participants
- Appendices

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“Key Personnel” = Individual

- **All Projects**
 - Project Manager
 - Design Manager
 - Construction Manager
- **Optional**
 - Project Quality Manager
 - Geotech Group Manager
 - Structural Lead Engineer
 - Environmental Manager



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Key Personnel Example:

I-405, NE 6th St. to I-5 – NB Hard Shoulder Running & ETL Improvements Project

- **Key Personnel**
 - Project Manager
 - Design Manager
 - Construction Manager
- **Resumes**

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“Major Participant” = Company

- **Submitter**
- **Submitter’s Owners**
- **Pre-Qualified Constructor**
- **Lead Engineering Firm/Designer**
- **Primary Subconsultants**
- **Primary Subcontractors**
- **QA Inspection Firm**

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Evaluation Criteria

- **Focused on achieving Project Goals**
- **Example: I-405, NE 6th St. to I-5 – NB Hard Shoulder Running & ETL Improvements Project**
 - Congestion Relief
 - Excellent Project Management
 - Minimize Impacts

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Evaluator's Independent Review / Evaluation

- Independent Review/Evaluation
- Follow RFQ
- Don't Compare Proposals
- Qualitative Evaluation Form

Identifying Strengths and Weaknesses

- Identification of:
 - Strengths
 - Weaknesses
- Focused on Project Goals



Assessing Strengths & Weaknesses

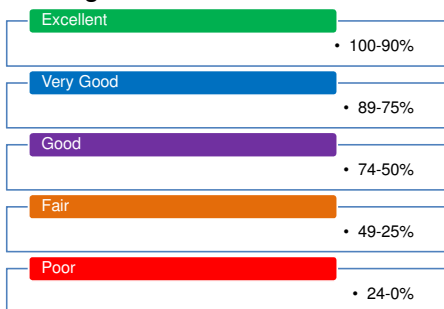
1. High Significant Strength	Strength - That part of the Proposal which represents a benefit to the Project and is expected to increase the Proposer's ability to meet or exceed the Project Goals.	A significant strength has a considerable positive influence on the Submitter's ability to meet or exceed the Project goals.
2. Significant Strength		
3. Low Significant Strength		
4. High Minor Strength		A minor strength has a slight positive influence on the Submitter's ability to meet or exceed the Project goals.
5. Minor Strength		
6. Low Minor Strength	Weakness - That part of the Proposal which detracts from the Proposer's ability to meet the Project goals or may result in an inefficient or ineffective performance.	
7. Neutral		
8. Low Minor Weakness		A minor weakness has a slight negative influence on the Submitter's ability to meet the Project goals.
9. Minor Weakness		
10. High Minor Weakness		
11. Low Significant Weakness		A significant weakness has a considerable negative influence on the Submitter's ability to meet the Project goals.
12. Significant Weakness		
13. High Significant Weakness		

Evaluation Form (Example)

Washington State Department of Transportation		
CONFIDENTIAL		
QUALITATIVE EVALUATION FORM - KEY PERSONNEL		
Evaluator:		
Comment #	Comments	Strength or Weakness
Goal 1 - Manage Geotechnical Conditions		
	Project Manager	
	Construction Manager	
	Design Manager	
	Geotechnical Groundwater Manager	
	Structural Lead Engineer	
		Adjectival Rating
		Percent of Max Score
Goal 2 - Project Collaboration		
	Design Manager	

Adjectival Evaluation

Rating: **Percent of Max Score:**



In-the-Room Team Evaluation

- **Ensure a SOQ is Responsive**
- **Condense like comments to a single agreed upon comment and strength/weakness rating**
- **Use Strength/Weakness ratings to assign an Adjectival Rating per goal**
 - Excellent
 - Very Good
 - Good
 - Fair
 - Poor
- **Use Adjectival Rating to assign a percent of max points**

Evaluation Meeting

- In person meeting
- Points assigned for each element in RFQ

Section	Section Title and Required Information	Maximum Pages	Points Available
2	Key Personnel (600)	6	
	Project Manager (300)		
	Congestion Relief		150
	Excellent Project Management		100
	Minimize Impacts		50
	Design Manager (150)		
	Congestion Relief		75
	Excellent Project Management		50
	Minimize Impacts		25
	Construction Manager (150)		
	Congestion Relief		75
	Excellent Project Management		50
	Minimize Impacts		25

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Recommended Shortlist

- Tabulate total scores of each Submitter
- *How many to shortlist?*
 - WSDOT practice is 3
 - DBIA best practices states 3
 - Federal Guidelines states 3-5



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Next Steps

- **SOQ Evaluation Coordination Meeting**
 - Project Management Team
- **Evaluation De-Brief Meeting**
 - Region Executive Team
 - HQ Executive Team



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Conclusion of Process

- **Notification to Submitters**
- **Executive Summary**
 - Written explanation of scores
 - Include distinguishing factors
 - Should be "fact checked" against the SOQ
 - Serves as evidence in protest

After Shortlist Announced

- **PDRs**
 - HQ Contract Ad & Award will assist with any PDR requests

WSDOT Design-Build Training

The WSDOT Design-Build Training Courses have the following modules:

- **In Person Courses:**
 - Design-Build 101 (*Prerequisite to this course*)
 - Design-Build Startup and Request for Qualifications ("RFQ") Development
 - Design-Build Instructions to Proposers (ITP) and Request for Proposals (RFQ) Development
 - Design-Build Office Management and Contract Administration
 - Design-Build Closeout Process
 - Environmental in Design-Build
 - Quality in Design-Build
- **Online Courses:**
 - Statement of Qualifications Evaluation
 - Proposal Evaluation
 - Alternative Technical Concept Review Process

Headquarters Design-Build Contacts

<p>Art McCluskey, PE Design-Build Program Manager (360) 705-7468 mcclusa@wsdot.wa.gov</p>	<p>Jolena Missildine, Assoc. DBIA, CCM Design-Build Engineer (360) 709-7548 missildj@wsdot.wa.gov</p>
<p>Dacia Dunbar Design-Build Assistant (360) 705-6859 dunbard@wsdot.wa.gov</p>	<p>Mark Gaines, PE Lead Construction Engineer (360) 705-7827 gainesm@wsdot.wa.gov</p>
<p>Alex Countouriotis Design-Build Liaison (360) 705-7831 countoa@wsdot.wa.gov</p>	

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Resources

- WSDOT Design-Build Web Page
<http://www.wsdot.wa.gov/Projects/delivery/designbuild/Default.htm>
- Joint Transportation Committee of Washington State Legislature Design-Build Study
<http://leg.wa.gov/JTC/Pages/Design-Build-Study.aspx>
- WSDOT Design-Build Templates
<http://sharedot/eng/cn/hqconstr/dpb/DB%20Templates/Forms/AllItems.aspx>
- Design-Build Institute of America Best Practices
<https://www.dbia.org/resource-center/Pages/Best-Practices.aspx>
- Design-Build Institute of America Transportation Conference
www.dbia.org

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Questions

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